



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

MASATO OTSUKA, ET AL.

Application No.: 09/939,421

Filed: August 24, 2001

For: **METHOD OF CONTROLLING THE OPERATIONS AND  
DISPLAY MODE OF AN OPTICAL DISC PLAYER  
BETWEEN A VIDEO PLAYBACK MODE AND A USER  
AGENT MODE**

Art Group: 2652

Examiner:

**RECEIVED**

**NOV 27 2002**

Technology Center 2600

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The references were cited in a Search Report dated July 11, 2002 from a foreign patent office in a counterpart PCT application.

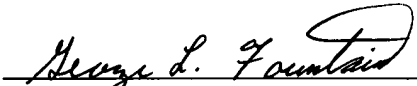
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

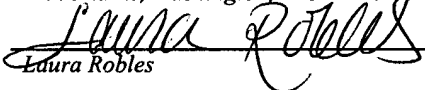
Dated: October 9, 2002

  
\_\_\_\_\_  
GEORGE L. FOUNTAIN  
Reg. No. 36,374

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

**CERTIFICATE OF MAILING**

*I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on: October 9, 2002*

  
\_\_\_\_\_  
Laura Robles 10/9/02

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |   |    |   |                          |  |
|---|---|----|---|--------------------------|--|
| SUBSTITUTE FOR FORM 1449A/PTO<br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><i>(use as many sheets as necessary)</i> |   |    |   | <b>Complete if Known</b> |  |
| Application Number  |   |    |   | 09/939,421               |  |
| Filing Date   |   |    |   | August 24, 2001          |  |
| First Named Inventor  |   |    |   | Masato Otsuka            |  |
| Group Art Unit  |   |    |   | 2652                     |  |
| Examiner Name   |   |    |   |                          |  |
| Attorney Docket Number  |   |    |   | 5266P004X                |  |
| Sheet   | 1 | of | 1 |                          |  |

[illegible]

RECEIVED  
NOV 27 2002  
Technology Center 2600

[illegible]

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

\*Unique citation designation number. \*See attached Kinds of U.S. Patent Documents. \*Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). \*For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \*Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



2652  
47  
12/1/2

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |   |                        |                 |
|---|---|------------------------|-----------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) |   | Application No.        | 09/939,421      |
|   |   | Filing Date            | August 24, 2001 |
|   |   | First Named Inventor   | Masato Otsuka   |
|   |   | Group Art Unit         | 2652            |
|   |   | Examiner Name          |                 |
| Total Number of Pages in This Submission  | 5 | Attorney Docket Number | 5266P004X       |

RECEIVED

NOV 27 2002

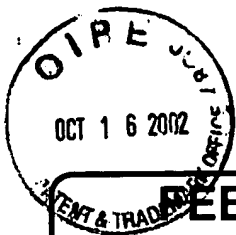
Technology Center 2600

| ENCLOSURES (check all that apply)   |   |   |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment / Response<br><br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/ Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><br><input type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition<br><br><input type="checkbox"/> Petition to Convert a Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input type="checkbox"/> Other Enclosure(s) (please identify below):<br><div style="border: 1px solid black; padding: 5px; margin-top: 10px;">PTO/SB/08 with one (1) cited reference.</div> |
| Remarks<br>The total number of pages does not include the one cited reference.  |   |   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |   |
|--|---|
| Firm or Individual name                    | George L. Fountain, Reg. No. 36,374<br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature                                  | <i>George L. Fountain</i>   |
| Date                                       | October 9, 2002   |

| CERTIFICATE OF MAILING/TRANSMISSION   |                     |      |                 |
|---|---------------------|------|-----------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: <b>October 9, 2002</b> |                     |      |                 |
| Typed or printed name   | Laura Robles        |      |                 |
| Signature   | <i>Laura Robles</i> | Date | October 9, 2002 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FREE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.**TOTAL AMOUNT OF PAYMENT**

(\$)

**Complete if Known**

|                      |                 |
|----------------------|-----------------|
| Application Number   | 09/939,421      |
| Filing Date          | August 24, 2001 |
| First Named Inventor | Masato Otsuka   |
| Examiner Name        |                 |
| Group/Art Unit       | 2652            |
| Attorney Docket No.  | 5266P004X       |

**METHOD OF PAYMENT (check one)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☒ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor &amp; Zafman LLP

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 740      | 201          | 370      | Utility filing fee     |          |
| 106          | 330      | 206          | 165      | Design filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee       |          |
| 108          | 740      | 208          | 370      | Reissue filing fee     |          |
| 114          | 160      | 214          | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        | (\$)     |

**2. EXTRA CLAIM FEES**

|                    |  |              |  |                |  |          |  |
|--------------------|--|--------------|--|----------------|--|----------|--|
| Total Claims       |  | Extra Claims |  | Fee from below |  | Fee Paid |  |
| Independent Claims |  |              |  |                |  |          |  |
| Multiple Dependent |  |              |  |                |  |          |  |

| Large Entity |          | Small Entity |          | Fee Description   | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |   |          |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                    |          |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                         |          |
| 104          | 280      | 204          | 140      | Multiple Dependent claim, if not paid                     |          |
| 109          | 84       | 209          | 42       | **Reissue independent claims over original patent         |          |
| 110          | 18       | 210          | 9        | **Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          |   | (\$)     |

\*\*or number previously paid, if greater, For Reissues, see below

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity                       |          | Small Entity |          | Fee Description  | Fee Paid |
|------------------------------------|----------|--------------|----------|--|----------|
| Fee Code                           | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 105                                | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127                                | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139                                | 130      | 139          | 130      | Non-English specification  |          |
| 147                                | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                                | 920 *    | 112          | 920 *    | Requesting publication of SIR prior to Examiner action                     |          |
| 113                                | 1,840 *  | 113          | 1,840 *  | Requesting publication of SIR after Examiner action                        |          |
| 115                                | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                                | 400      | 216          | 200      | Extension for reply within second month                                    |          |
| 117                                | 920      | 217          | 460      | Extension for reply within third month                                     |          |
| 118                                | 1,440    | 218          | 720      | Extension for reply within fourth month                                    |          |
| 128                                | 1,960    | 228          | 980      | Extension for reply within fifth month                                     |          |
| 119                                | 320      | 219          | 160      | Notice of Appeal   |          |
| 120                                | 320      | 220          | 160      | Filing a brief in support of an appeal                                     |          |
| 121                                | 280      | 221          | 140      | Request for oral hearing   |          |
| 138                                | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                                | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141                                | 1,280    | 241          | 640      | Petition to revive - unintentional   |          |
| 142                                | 1,280    | 242          | 640      | Utility issue fee (or reissue)   |          |
| 143                                | 460      | 243          | 230      | Design issue fee   |          |
| 144                                | 620      | 244          | 310      | Plant issue fee  |          |
| 122                                | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                                | 50       | 123          | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 126                                | 180      | 126          | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                                | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                                | 740      | 246          | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                                | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                                | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                                | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify)                |          |              |          |  |          |
| * Reduced by Basic Filing Fee Paid |          |              |          |  |          |
| SUBTOTAL (3)                       |          |              |          |  | (\$)     |

RECEIVED  
NOV 27 2002  
Technology Center - 2600**SUBMITTED BY****Complete (if applicable)**

|                   |                           |                                   |          |           |                |
|-------------------|---------------------------|-----------------------------------|----------|-----------|----------------|
| Name (Print/Type) | George L. Fountain        | Registration No. (Attorney/Agent) | 36,374   | Telephone | (714) 557-3800 |
| Signature         | <i>George L. Fountain</i> | Date                              | 10/09/02 |           |                |

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.